

**U.S. DEPARTMENT OF EDUCATION  
OFFICE OF ELEMENTARY AND SECONDARY EDUCATION  
SCHOOL IMPROVEMENT PROGRAMS  
WASHINGTON, D.C. 20202**

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**FY 2002  
APPLICATION FOR GRANTS UNDER THE  
SCHOOL LEADERSHIP PROGRAM**

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**CFDA Number: 84.363A**

**FORM APPROVED  
OMB No. 1890-0009, EXP. DATE 7/31/02**



**DATED MATERIAL - OPEN IMMEDIATELY**

**Closing Date: July 8, 2002**

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Note: Copies of standard forms are available at the U.S. Department of Education's website at <http://www.ed.gov/offices/OCFO/grants/appforms.html>.

# **SECTION A**

## **INTRODUCTION**

Dear Applicant:

Thank you for your interest in the School Leadership Program administered by the U.S. Department of Education, Office of Elementary and Secondary Education. The Department is pleased to announce that approximately \$10 million will be available to support projects under this program.

The No Child Left Behind Act of 2001 focuses on high standards and accountability for results. To ensure every student successfully meets rigorous state standards, our nation's schools must be lead by effective principals.

The School Leadership Program will assist high-need local educational agencies (LEAs) to develop, enhance, or expand their innovative programs to recruit, train, and mentor principals, including assistant principals. Eligible applicants include high-need LEAs; consortia of high-need LEAs; or partnerships that consist of at least one high-need LEA and at least one nonprofit organization or institution of higher education.

Information to assist in preparing your application is found in the Notice Inviting Applications and in the Application Contents section (Section C) of this application package. Applications must be post-marked or hand-delivered to the Department in accordance with the section titled Application Transmittal Instructions no later than July 8, 2002 for consideration. An application that is not submitted by the deadline will be returned to the applicant and will not be considered. We expect to make awards under this program approximately two months after the application deadline. For further information, please contact:

Susan Toy  
School Improvement Programs  
Telephone: 202-260-0995  
Fax: 202-205-5630  
E-mail [susan.toy@ed.gov](mailto:susan.toy@ed.gov)

We look forward to receiving your application and appreciate your commitment to helping ensure our nation's schools are lead by highly qualified and effective principals.

Sincerely,

Susan B. Neuman, Ed.D  
Assistant Secretary for  
Elementary and Secondary Education

## **THE CURRENT CONTEXT OF SCHOOL LEADERSHIP**

The No Child Left Behind Act of 2001 focuses on accountability for results. States are required to create strong standards for what every child should know and learn in reading and math in grades 3-8.

As State standards are developed, it will be the role of the principal to provide the instructional leadership, community leadership, and systems management that will ensure the success of all students. A recent report by Education Research Service cites studies that find that the one attribute of all high-performing schools is a dedicated and dynamic principal. Strong leadership is essential for effective school reform.

With the daunting projection of 2.2 million teachers needed in the next decade, policy makers and the media have focused on our country's future need for qualified teachers. An equally important issue that must be addressed is that of school leadership. There is a significant need for effective leaders who are able to provide the guidance and direction for instructional improvement.

In 1998, 50% of 400 superintendents surveyed reported trouble filling principal vacancies (Educational Research Service, 1998). The challenge of meeting the immediate need for quality principals will be compounded by a forecasted turnover of at least 40% of our nation's principals in the next 10 years.

It is the responsibility of school districts to support candidates who aspire to be principals and to cultivate a new generation of administrators. In addition to recruiting and training future principals, attention must also turn to meeting the professional development needs of current principals. According to a 1997 report by the National Center for Education Statistics, on average, today's principal is 48 years old and nearly a decade past her/his original training for the job. Continuous learning for the novice and veteran principal will be required to meet the highly complex responsibilities of a school administrator.

Today, virtually every serious scholar of leadership development maintains that the knowledge and skills required for effective leadership can be learned (Heifetz, 1994). The School Leadership Program will support the recruitment and development of effective leaders who anchor their work on the central issue of learning and teaching for student achievement.

## School Leadership Program Intent to Apply

The Department will use an external peer review process to evaluate applications for the School Leadership Program, and to identify applications to be recommended for award. The quality of that process will depend, in part, on our ability to secure an appropriate number of reviewers, accommodations for them, and space in which they will work. Our ability to do this will depend, in turn, upon advance knowledge of the approximate number of applications we will receive.

For this reason, if your local educational agency (LEA), nonprofit organization or institution of higher education (IHE) intends to apply for funding under this program, we ask that you provide us the following information:

Name of Primary Applicant: \_\_\_\_\_

Address: \_\_\_\_\_

City, State, Zip Code: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax Number : \_\_\_\_\_

E-mail address: \_\_\_\_\_

Expected Category of Application: (Please check, as appropriate)

- ☐ High-need LEA
- ☐ Consortium of high-need LEAs
- ☐ Partnership of at least one high-need LEA and at least one nonprofit organization or IHE

**Please return this form on or before June 7, 2002 to:**

Susan Toy  
School Improvement Programs  
Office of Elementary and Secondary Education  
400 Maryland Ave. SW., Room 3E224  
Washington, D.C. 20202-6140

Responses may also be sent by fax to (202) 205-5630, or by e-mail to [susan.toy@ed.gov](mailto:susan.toy@ed.gov).

The Department requests this information solely to help it prepare for the peer review process. It will not be used in the review of your application. If you inform the Department of your intent to apply, but subsequently decide not to do so, please notify the Department accordingly. Not completing this form does not prevent you from applying for a grant.



# **SECTION B**

## **LEGAL DOCUMENTS**

4000-01-U

DEPARTMENT OF EDUCATION

(CFDA No. 84.363A)

Office of Elementary and Secondary Education

School Leadership Program

Notice inviting applications for new awards for fiscal year  
(FY) 2002.

PURPOSE OF PROGRAM: The School Leadership Program is designed to assist high-need local educational agencies (LEAs) in the development, enhancement, or expansion of innovative programs to recruit, train and mentor principals (including assistant principals) to serve in high-need schools.

For FY 2002, the competition focuses on projects designed to meet the priority that appears in the "REQUIREMENTS FOR FY 2002 COMPETITION: Competitive Preference" section of this notice.

ELIGIBLE APPLICANTS: High-need LEAs, consortia of high-need LEAs, or partnerships that consist of at least one high-need LEA and at least one nonprofit organization or institution of higher education. See the "REQUIREMENTS FOR FY 2002 COMPETITION: Eligibility" section of this notice for the definition of high-need LEA.

APPLICATIONS AVAILABLE: May 23, 2002.

DEADLINE FOR TRANSMITTAL OF APPLICATIONS: July 8, 2002.

DEADLINE FOR INTERGOVERNMENTAL REVIEW: September 6, 2002.

ESTIMATED AVAILABLE FUNDS: \$10,000,000 for the first 12 months of the 36-month project period. Funding for the second and third 12-month project periods is subject to the availability of funds and to a grantee's meeting the requirements for receipt of continuation awards contained in 34 CFR 75.253.

ESTIMATED RANGE OF AWARDS: \$150,000 - \$750,000.

ESTIMATED AVERAGE SIZE OF AWARDS: \$450,000.

ESTIMATED NUMBER OF AWARDS: 22.

Note: The Department is not bound by any estimates in this notice. The Administration has not requested funding for this program for FY 2003.

PROJECT PERIOD: Up to 36 months.

APPLICABLE REGULATIONS: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99. (b) The special rules announced in this notice.

PAGE LIMIT: The application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the

narrative to the equivalent of no more than 50 pages, using the following standards:

- A page is 8.5" x 11", on one side only, with 1" margins at the top, bottom and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references and captions, as well as all text in charts, tables, figures and graphs.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).

The page limit does not apply to Standard Form 424; the project abstract; the budget section, including the narrative budget justification; the assurances and certifications; or the resumes, bibliography, or letters of support.

Our reviewers will not read any pages of your applications that—

- Exceed the page limit if you apply these standards;  
or
- Exceed the equivalent of the page limit if you apply other standards.

SUPPLEMENTAL INFORMATION: Research has shown that what principals do on a daily basis makes a difference in how well students learn. Principals influence teaching and classroom practice through such activities as formulating school goals, setting and communicating high achievement expectations, organizing resources for instruction, supervising and evaluating teachers' performance, and monitoring student progress. The primary responsibility of the principal is to create an environment that will enable all students to achieve.

It is clear that strong leadership is essential for effective school reform. However, fewer and fewer eligible candidates appear willing to accept the role of school administrator. Two hundred superintendents surveyed by Education Research Service in 1998 reported difficulties filling principal vacancies in their districts. The challenge does not rest with recruiting and training future principals. Attention must also focus on providing professional development to current administrators who, according to a 1997 report by the National Center for Education Statistics, are on average 48 years old and nearly a decade past their original training.

In this regard, section 2151(b) of Title II, Part A of the Elementary and Secondary Education Act (ESEA), as

amended by the No Child Left Behind Act of 2001, authorizes a new competitive grant program to assist high-need LEAs in recruiting, training and retaining principals (including assistant principals). The School Leadership program will fund applicants that effectively address the competitive priority and selection criteria while demonstrating to the satisfaction of reviewers that receipt of a grant award will enable them to do one or both of the following:

(1) Hire, train, and mentor highly qualified individuals to become principals (and assistant principals) in high-need schools.

(2) Provide current principals (and assistant principals) who serve in high-need school districts with sustained professional development that is standards-focused and job-embedded.

WAIVER OF PROPOSED RULEMAKING: It is the Secretary's practice, in accordance with the Administrative Procedure Act (5 U.S.C. 553), to offer interested parties the opportunity to comment on proposed rules, including competitive preferences. Section 437(d)(1) of the General Education Provisions Act (GEPA), however, allows the Secretary to exempt from rulemaking requirements rules governing the first grant competition under a new or substantially revised program authority (20 U.S.C.

1232(d)(1)). The Secretary, in accordance with section 437(d)(1) of GEPA, has decided to forego public comment in order to ensure timely grant awards. These requirements will apply to the FY 2002 grant competition only.

REQUIREMENTS FOR FY 2002 COMPETITION:

Selection Criteria. The Secretary uses the following criteria to evaluate an application. The maximum score for each criterion is indicated in parenthesis.

(a) Need for project. (15 points)

In determining the need for the proposed project, the Secretary considers:

(i) The magnitude of the need for recruiting and training highly qualified principals by the proposed project.

(ii) The extent to which the proposed project will prepare personnel to be highly qualified principals in which shortages have been demonstrated.

(b) Quality of project design. (25 points)

In determining the quality of project design of the proposed project, the Secretary considers:

(i) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.

(ii) The extent to which the design of the proposed project is appropriate to, and will successfully address the need to improve student achievement through effective school leadership.

(iii) The extent to which the proposed activities constitute a coherent, sustained program of training for principals in instructional leadership, community leadership, and systems management.

(iv) The extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance.

(c) Quality of project services. (25 points)

In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

In addition, the Secretary considers:

(i) The extent to which the services to be provided by the proposed project are appropriate to the needs of the principal candidates or current principals to be served or both.



(ii) The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in school leadership.

(iii) The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project services.

(iv) The extent to which the services to be provided by the proposed project are focused on high-need schools.

(d) Quality of project personnel. (10 points)

In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

In addition, the Secretary considers:

(i) The qualifications, including relevant training and experience, of the project director or principal investigator.

(ii) The qualifications, including relevant training and experience, of key project personnel.

(e) Adequacy of resources. (5 points)

In determining the adequacy of resources for the proposed project, the Secretary considers the following:

(i) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization.

(ii) The extent to which the costs are reasonable in relation to the number of persons to be served and to the anticipated results and benefits.

(f) Quality of the management plan. (10 points)

In determining the quality of the management plan for the proposed project, the Secretary considers:

(i) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.

(ii) The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project.

(iii) The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.

(g) Quality of the project evaluation. (10 points)

In determining the quality of the evaluation, the Secretary considers:

(i) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project.

(ii) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.

(iii) The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings.

Competitive Preference. Under 34 CFR 75.105(c)(2)(i) we award up to an additional 10 points to an application, depending on how well the application meets this competitive preference. The priority points are in addition to any points an application earns under the selection criteria for the program.

To promote sustained gains in student achievement, principals today need to be strong leaders and managers. Principals must effectively serve as leaders of the instructional school staff; leaders of the school, family, and business communities; and managers of the human,

financial, and material resources of the school. In addition, the very purpose of this program is to help those schools and LEAs most in need of improved school leadership.

Therefore, a competitive preference is awarded to applications whose projects would both--

(1) Provide comprehensive and sustained training or professional development to current or prospective principals or assistant principals in each of the following three key areas: instructional leadership, community leadership, and systems management; and,

(2) Support a district-wide effort to improve the academic achievement of students attending schools that are most in need of strong school leaders. For purposes of this program, schools most in need of strong leaders are "high-need schools" as defined in section 2312(3) of the ESEA, i.e., a school that --

(A) Is either located in an area in which the percentage of students from families with incomes below the poverty line is 30 percent or more; or

(B)(i) Is located in an area with a high percentage of out-of-field teachers, as defined in section 2102 of the ESEA;

(ii) Is within the top quartile of elementary schools and secondary schools statewide, as ranked by the number of unfilled, available teacher positions at the school;

(iii) Is located in an area in which there is a high teacher turnover rate; or

(iv) Is located in an area in which there is a high percentage of teachers who are not certified or licensed.

Eligibility. An eligible application must propose a project directly benefits one or more named "high-need LEA(s)". If the applicant is not the LEA(s), the application must contain a letter of support from the LEA(s). As this term is defined in section 2102 (3) of the ESEA, a high-need LEA is an LEA--

1. (a) That serves not fewer than 10,000 children from families with incomes below the poverty line, or (b) for which not less than 20 percent of the children in the area served by the LEA are from families with incomes below the poverty line; and

2. For which there is (a) a high percentage of teachers not teaching in the academic subjects or grade levels the teachers were trained to teach, or (b) a high percentage of teachers with emergency, provisional, or temporary certification or licensing.

Applicants will need to include information in their applications that demonstrates that they, or the LEA(s) with which they will work, meet this definition.

Note: For purposes of the four elements of this statutory definition of "high-need LEA":

1.a. The total number of children in poverty, as referenced above, can be found on the Census Bureau Web site at:

<http://www.census.gov/housing/saipe/sd97/>

This site reports the number of children in poverty for every school district in the United States. See the file for your State's data, and find your LEA. The sixth column provides the number of children in poverty.

1.b. LEA poverty rates referenced in 1(b) can be accessed on the Department's Web site at the following address:

[www.ed.gov/offices/OESE/reap.html](http://www.ed.gov/offices/OESE/reap.html)

See at this address "Instructions and Tools for Submitting Data," and find "Its Own State Spreadsheet." Column 11 identifies the percentage of an LEA's children from families below the poverty line. These poverty rates are available for LEAs that are included in the National Center for Education Statistics (NCES) Common Core of Data (CCD).

An LEA not included in the CCD must provide other data, such as the adjusted poverty data that its State used to make its Title I allocations, to demonstrate its eligibility.

2.a. The Department does not have available to it suitable data with which to define a "high percentage" of teachers not teaching in the academic subjects or grade levels the teachers were trained to teach. Therefore, to be eligible to receive an award, LEAs unable to meet the definition immediately below for "high percentage of teachers with emergency, provisional, or temporary certification or licensing" will need to demonstrate to the Department's satisfaction that they have a high percentage of teachers not teaching in the academic subjects or grade levels the teachers were trained to teach. The Department will review this aspect of the applications on a case-by-case basis.

2.b. The best data available to the Department on the percentage of teachers with emergency, provisional, or temporary certification or licensing comes from the reports on the quality of teacher preparation that States provided to the Department in October 2001 under section 207 of the Higher Education Act. Specifically, States provided the percentage of teachers in their LEAs teaching on waivers,

both on a statewide basis and in high-poverty LEAs. Based on data from these reports, the national average of teachers on waivers in high-poverty LEAs is approximately 11 percent. The Secretary has determined that it is reasonable to use a percentage that meets or exceeds 11 percent in defining high-need LEA in Title II of the ESEA (under which this program is authorized) to reflect a "high percentage" of teachers teaching with emergency, provisional, or temporary certification or licensing.

Services for Private School Principals and Assistant Principals.

The uniform provisions in Title IX, Part E of the ESEA apply to this program. Among other things, this means that an LEA receiving financial assistance under the School Leadership Program must, after timely and meaningful consultation with private school officials, provide to private school staff professional development that is equitable to professional development provided with program funds to public school principals and assistant principals (or other public school staff whom the project serves). See section 9501 of the ESEA.

LIMITATION ON INDIRECT COST:

The success of the School Leadership Program will depend upon how well grantees produce highly qualified



principals and assistant principals who will work and stay in high-need schools. If the program is to achieve its purposes, we need to ensure that the \$10 million appropriation is used as effectively as possible. To do so, it is necessary to place a reasonable limitation on the amount of program funds that grant recipients may use to reimburse themselves for the "indirect costs" of program activities. Therefore, the Secretary has decided to establish a reasonable limit of eight percent on the indirect cost rate that all program recipients may charge to funds provided under this program.

The School Leadership Program does not fund activities that are strictly "educational training projects" within the meaning of section 75.562 of EDGAR, to which this eight-percent limitation already expressly applies. However, for reasons we have provided in a limited number of other competitive grant programs that focus on improving teacher quality or helping students in high-need schools achieve academically, we believe that a similar limitation on a recipient's indirect costs is necessary here to ensure that program funds are used to secure the school leaders that Congress had intended. See, e.g., (1) the analysis of EDGAR for proposed 34 CFR 611.61 that governs the Teacher Quality Enhancement Grant programs, authorized by Title II,

Part A of the Higher Education Act (65 FR 6936, 6940 (February 11, 2000)); and (2) requirements for the FY 2001 grants competition under the Transition to Teaching program authorized in the FY 2001 Department of Education Appropriations Act, P.L. 106-554 (66 FR 19673, 19676-77(April 16, 2002)).

FOR APPLICATIONS CONTACT: Education Publications Center (ED Pubs), P.O. Box 1398, Jessup, MD 20794-1398. Telephone (toll free): 1-877-433-7827. FAX: (301) 470-1244. If you use a telecommunications device for the deaf (TDD) you may call (toll free): 1-877-576-7734.

You may also contact ED Pubs at its Web site:

<http://www.ed.gov/about/ordering.jsp>

Or you may contact ED Pubs at its e-mail address:

[edpubs@inet.ed.gov](mailto:edpubs@inet.ed.gov)

If you request an application from ED Pubs, be sure to identify this competition as follows: CFDA number 84.363A.

FOR TECHNICAL ASSISTANCE CONTACT: Susan Toy, U.S.

Department of Education, 400 Maryland Avenue, SW, Room 3E224, Washington, DC 20202-6140. Telephone: (202) 260-0995 or via Internet:

[Susan.Toy@ed.gov](mailto:Susan.Toy@ed.gov)

Electronic access to this document

You may view this document, as well as all other Department of Education documents published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

<http://www.ed.gov/legislation/FedRegister/>

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC area at (202) 512-1530.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request using the contact information provided under FOR APPLICATIONS CONTACT.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO access at:

<http://www.access.gpo.gov/nara/index.html>

PROGRAM AUTHORITY: 20 U.S.C 6651(b).

Dated:

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Susan B. Neuman, Ed.D.  
Assistant Secretary for Elementary  
And Secondary Education.

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## **PROGRAM STATUTE**

**Title II, Part A, Subpart 5 of the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the No Child Left Behind Act of 2001 (P.L. 107-110)**

### **SECTION 2151 (b) SCHOOL LEADERSHIP**

(1) IN GENERAL- The Secretary is authorized to establish and carry out a national principal recruitment program to assist high-need local educational agencies in recruiting and training principals (including assistant principals) through such activities as:

- (A) providing financial incentives to aspiring new principals;
- (B) providing stipends to principals who mentor new principals;
- (C) carrying out professional development programs in instructional leadership and management; and
- (D) providing incentives that are appropriate for teachers or individuals from other fields who want to become principals and that are effective in retaining new principals

(2) GRANTS - If the Secretary uses sums made available under section 2103 (b) to carry out paragraph (1), the Secretary shall carry out such paragraph by making grants, on a competitive basis to:

- (A) high-need local educational agencies;
- (B) consortia of high-need local educational agencies; and
- (C) partnerships of high-need local educational agencies, nonprofit organizations, and institutions of higher education.

### **SECTION 2102 (3) HIGH-NEED LOCAL EDUCATIONAL AGENCY**

The term "high-need local educational agency" means a local educational agency-

- (A)(i) that serves not fewer than 10,000 children from families with incomes below the poverty line; or

- (ii) for which not less than 20 percent of the children served by the agency are from families with incomes below the poverty line; and
- (B)(i) for which there is a high percentage of teachers not teaching in the academic subjects or grade levels that the teachers were trained to teach; or
- (ii) for which there is a high percentage of teachers with emergency, provisional, or temporary certification or licensing.

#### **SECTION 2312(3) HIGH-NEED SCHOOL**

The term high-need school means a school that -

- (A) is located in an area in which the percentage of students from families with incomes below the poverty line is 30 percent or more; or
- (B)(i) is located in an area with a high percentage of out-of-field teachers, as defined in section 2102;
- (ii) is within the top quartile of elementary schools and secondary schools statewide, as ranked by the number of unfilled, available teacher positions at the school;
- (iii) is located in an area in which there is a high teacher turnover rate; or
- (iv) is located in an area in which there is a high percentage of teachers who are not certified or licensed.

# **SECTION C**

## **APPLICATION CONTENTS**



## GENERAL INSTRUCTIONS

To compete for an award under this program, your completed application must include the following seven/eight parts:

### **Part I: Application for Federal Assistance (Standard Form 424 (Rev. 11-99))**

This part of your application consists of the standard application face page on which you provide basic identifying information about the applicant and the application. Specific instructions for completing this form are provided.

### **Part II: Proof of Eligibility**

This part of your application requires a narrative containing information regarding your eligibility to apply for this program. An eligible application must propose to benefit one or more high-need LEAs as defined on pages B-12 through B-15.

### **Part III: Letter of Support**

If the applicant is not a high-need LEA(s), a Letter of Support from the high-need LEA(s) must be provided. If the applicant is a high-need LEA(s), this letter is not required.

### **Part IV: Project Abstract**

The abstract should be 1-2 page(s) in length and include the objectives and intended outcomes of the proposed project.

### **Part V: Program Narrative Addressing the Project Selection Criteria and the Competitive Preference**

This part of your application contains information responsive to the Project Selection Criteria and Competitive Preference. Please see Page Limit on pages B-3 through B-4.

### **Part VI: ED Form 524 and Budget Narrative**

In order to be considered for Federal funding, each applicant must provide the following:

- ED Form 524 - You must provide complete budget information for each year of requested funding. Note: The administration has not requested funding for this program in FY 2003.
- A descriptive budget narrative that explains and justifies the requested federal amounts for individual cost categories.

**Part VII: Assurances and Certifications**

Be certain to include all assurances and certifications, and sign each form in the appropriate place. These include:

- Assurances—Non-Construction Programs
- Certifications Regarding Lobbying; Debarment; Suspension, and other Responsibility Matters; and Drug-Free Workplace Requirements
- Certification Regarding Debarment; Suspension; Ineligibility; and Voluntary Exclusion--Lower Tier Covered Transactions
- Disclosure of Lobbying Activity

**Part VIII: Response to Section 427 of GEPA Guidance**

This part of the application includes a narrative that responds to Section 427 of the Department's General Education Provisions Act (GEPA). See pages C-33 through C-34.

# Application for Federal Education Assistance (ED 424)



U.S. Department of Education

Form Approved  
OMB No. 1875-0106  
Exp. 11/30/2004

## Applicant Information

### 1. Name and Address

Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_

City

State

County

ZIP Code + 4

2. Applicant's D-U-N-S Number | | | | | | | | | | | | | | | |

3. Applicant's T-I-N | | | | - | | | | | | | | | | | |

4. Catalog of Federal Domestic Assistance #: 84. | | | | | | | | | |

Title: \_\_\_\_\_

5. Project Director: \_\_\_\_\_

Address: \_\_\_\_\_

City State Zip code + 4

Tel. #: ( ) - Fax #: ( ) -

E-Mail Address: \_\_\_\_\_

## Application Information

### 9. Type of Submission:

*-PreApplication* *-Application*  
\_\_\_ Construction \_\_\_ Construction  
\_\_\_ Non-Construction \_\_\_ Non-Construction

### 10. Is application subject to review by Executive Order 12372 process?

\_\_\_ Yes (Date made available to the Executive Order 12372 process for review): \_\_\_/\_\_\_/\_\_\_  
\_\_\_ No (If "No," check appropriate box below.)  
\_\_\_ Program is not covered by E.O. 12372.  
\_\_\_ Program has not been selected by State for review.

11. Proposed Project Dates: \_\_\_/\_\_\_/\_\_\_

Start Date:

End Date:

## Estimated Funding

14a. Federal \$ .00  
b. Applicant \$ .00  
c. State \$ .00  
d. Local \$ .00  
e. Other \$ .00  
f. Program Income \$ .00  
g. TOTAL \$ .00

## Organizational Unit

6. Novice Applicant \_\_\_ Yes \_\_\_ No

7. Is the applicant delinquent on any Federal debt? \_\_\_ Yes \_\_\_ No  
(If "Yes," attach an explanation.)

8. Type of Applicant (Enter appropriate letter in the box.) |\_\_\_|/

A - State F - Independent School District  
B - Local G - Public College or University  
C - Special District H - Private, Non-profit College or University  
D - Indian Tribe I - Non-profit Organization  
E - Individual J - Private, Profit-Making Organization

K - Other (Specify): \_\_\_\_\_

12. Are any research activities involving human subjects planned at any time during the proposed project period?  
\_\_\_ Yes (Go to 12a.) \_\_\_ No (Go to item 13.)

12a. Are all the research activities proposed designated to be exempt from the regulations?  
\_\_\_ Yes (Provide Exemption(s) #): \_\_\_\_\_  
\_\_\_ No (Provide Assurance #): \_\_\_\_\_

13. Descriptive Title of Applicant's Project:

## Authorized Representative Information

15. To the best of my knowledge and belief, all data in this preapplication/application are true and correct. The document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (Please type or print name clearly.)

b. Title: \_\_\_\_\_

c. Tel. #: ( ) - Fax #: ( ) -

d. E-Mail Address: \_\_\_\_\_

e. Signature of Authorized Representative

Date: \_\_\_/\_\_\_/\_\_\_

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## Instructions for Form ED 424

- 1. Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
- 2. D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
- 3. Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
- 4. Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
- 5. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
- 6. Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.  
  
Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.
- 7. Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
- 8. Type of Applicant.** Enter the appropriate letter in the box provided.
- 9. Type of Submission.** See "Definitions for Form ED 424" attached.
- 10. Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (e.g., 12/12/2001). Otherwise, check "No."
- 11. Proposed Project Dates.** Please enter the month, day, and four (4) digit year (e.g., 12/12/2001).
- 12. Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")

**If Not Human Subjects Research.** Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.

**If Human Subjects Research.** Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")

**12a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

**12a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check "No" if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

**12a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

**13. Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing

project location. For preapplications, use a separate sheet to provide a summary description of this project.

enter the month, day, and four (4) digit year (e.g., 12/12/2001) in the date signed field.

**14. Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 14.

**15. Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please

**Paperwork Burden Statement.** According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1875-0106**. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3633, Washington, D.C. 20202-4725

## Definitions for Form ED 424

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

**Type of Submission.** “Construction” includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). “Construction” also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term “equipment” includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

**Executive Order 12372.** The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to <http://www.cfda.gov/public/eo12372.htm>.

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

##### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

##### —Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

#### B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. *If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.* [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked "Yes" for Item 12 on the ED 424,

the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative and insert it immediately following the ED 424 face page.

### **A. Exempt Research Narrative.**

If you marked "Yes" for item 12 a. and designated exemption numbers(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### **B. Nonexempt Research Narrative.**

If you marked "No" for item 12 a. you must provide the "nonexempt research" narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the



provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4248, telephone: (202) 708-8263, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at <http://www.ed.gov/offices/OCFO/humansub.html>*

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## PROJECT SELECTION CRITERIA

The Secretary will select for funding under the School Leadership program those applications that are deemed of the highest overall quality. Experts in school leadership will review and assign each application up to 100 points using the Project Selection Criteria and corresponding weights indicated in parentheses. Each criterion includes factors the reviewers will consider in determining how well an application meets the criterion.

Reviewers will use their own professional judgment to assess the quality of each application against these criteria. To be competitive, applicants must address each of the selection criteria fully and clearly.

### **(a) Need for project. (15 points)**

In determining the need for the proposed project, the Secretary considers:

- (i) The magnitude of the need for recruiting and training highly qualified principals by the proposed project.
- (ii) The extent to which the proposed project will prepare personnel to be highly qualified principals in which shortages have been demonstrated.

### **(b) Quality of project design. (25 points)**

In determining the quality of project design of the proposed project, the Secretary considers:

- (i) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable.

(ii) The extent to which the design of the proposed project is appropriate to, and will successfully address the need to improve student achievement through effective school leadership.

(iii) The extent to which the proposed activities constitute a coherent, sustained program of training for principals in instructional leadership, community leadership, and systems management.

(iv) The extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance.

**(c) Quality of project services. (25 points)**

In determining the quality of the services to be provided by the proposed project, the Secretary considers the quality and sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

In addition, the Secretary considers:

(i) The extent to which the services to be provided by the proposed project are appropriate to the needs of the principal candidates and/or current principals to be served.

(ii) The extent to which the training or professional development services to be provided by the proposed project are of sufficient quality, intensity, and duration to lead to improvements in school leadership.

(iii) The extent to which the services to be provided by the proposed project involve the collaboration of appropriate partners for maximizing the effectiveness of project services.

(iv) The extent to which the services to be provided by the proposed project are focused on high-need schools.

**(d) Quality of project personnel. (10 points)**

In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

In addition, the Secretary considers:

(i) The qualifications, including relevant training and experience, of the project director or principal investigator.

(ii) The qualifications, including relevant training and experience, of key project personnel.

**(e) Adequacy of resources. (5 points)**

In determining the adequacy of resources for the proposed project, the Secretary considers the following:

(i) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization.

(ii) The extent to which the costs are reasonable in relation to the number of persons to be served and to the anticipated results and benefits.

**(f) Quality of the management plan. (10 points)**

In determining the quality of the management plan for the proposed project, the Secretary considers:

(i) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks.

(ii) The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project.

(iii) The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.

**(g) Quality of the project evaluation. (10 points)**

In determining the quality of the evaluation, the Secretary considers:

(i) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project.

(ii) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.

(iii) The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings.

## **RESPONDING TO THE PROJECT SELECTION CRITERIA AND COMPETITIVE PREFERENCE**

The "Quality of Project Design," and the "Quality of Project Services" account for 50 percent of the possible 100 points an application may earn during the review process of the selection criteria. Due to the significant weight assigned to these two criteria, key questions are provided to guide you in the development of your responses.

### **QUALITY OF PROJECT DESIGN**

#### **Recruitment and Training of Future Principals**

- Should your project provide an opportunity for a full-time, job-embedded internship of at least one year? Should the internship provide prospective principals an opportunity to serve in leadership roles in multiple school settings with principals who model the skills and knowledge reflected in the training programs?
- Will mentors be assigned to recently appointed principals? Will the mentors meet with those whom the project would train on an intensive and regular basis? Will your project encourage the most effective principals to serve as mentors? What type of training will you provide the mentors to ensure they are fully prepared for their role and responsibilities?

#### **Professional Development for Prospective and Current Principals**

- Does your project address the need for continuous professional development in the areas of instructional leadership, community leadership and systems management?
- When addressing instructional leadership, will your project emphasize such key areas as: (a) pedagogy, (b) content knowledge of subjects taught at the elementary and middle school levels; (c) data driven decision-making and accountability; and (d) ability to meet the needs of the LEA's diverse student population?



- To what extent will addressing community leadership encompass: (a)ability to assess and respond to school and community needs; (b)building lasting and effective partnerships with the families of the student population and the broader school community; and (c)ability to work collaboratively and supportively with staff to transform school culture?
- To what extent will your program focus on elements of systems management that include: (a) personal and organizational leadership; (b) mobilizing human and financial resources (c) knowledge of legal issues impacting the school and district; and (d)establishing a safe and disciplined environment?
- Will your project provide cohort based training/professional development opportunities for principals to learn with their peers who share common interests, experiences and goals?

### **Sustainability**

- How will the project improve the capacity of the high-need LEA to recruit, train, mentor, and retain principals?
- How will the project evolve from a Federally sponsored program to one that is institutionalized within the LEA?

## **QUALITY OF PROJECT SERVICES**

### **Responding to Needs of Principals**

- Does your program provide practical training that will provide principals with the knowledge and skills to improve student performance?
- Will your program provide opportunities for active learning that will help principals solve daily and long-term problems encountered in high-need schools?

### **Training or Professional Development**

- What process will the grantee use to ensure the principals understand the needs and culture of the

school and community in which they will serve as leaders for student learning?

- Will the project emphasize meaningful and continuous learning opportunities for principals? In addition, will continuous assessments be embedded in the project to encourage principals to be reflective of their strengths and weaknesses as an instructional leader, community leader and systems manager?

### **Collaboration**

- Whether the applicant is a single high-need LEA, consortia of high-need LEAs, or a partnership, to what extent does the applicant collaborate with businesses, organizations, local government, institutions of higher education, and the State Educational Agency to develop a quality program that will meet the school leadership needs of the district(s)? How does the applicant demonstrate that each of the partners is truly committed to the project's success?

### **High-Need Schools**

- For projects that focus on the recruitment and training of prospective principals, will internship placements occur in high-need schools?
- How does the applicant demonstrate its commitment to assigning prospective principals, who complete the training program, to leadership positions in high-need schools?

**U.S. DEPARTMENT OF EDUCATION****BUDGET INFORMATION****NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1890-0004

Expiration Date: 02/28/2003

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY  
U.S. DEPARTMENT OF EDUCATION FUNDS**

| Budget Categories                    | Project Year 1<br>(a) | Project Year 2<br>(b) | Project Year 3<br>(c) | Project Year 4<br>(d) | Project Year 5<br>(e) | Total<br>(f) |
|--------------------------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|--------------|
| 1. Personnel                         |                       |                       |                       |                       |                       |              |
| 2. Fringe Benefits                   |                       |                       |                       |                       |                       |              |
| 3. Travel                            |                       |                       |                       |                       |                       |              |
| 4. Equipment                         |                       |                       |                       |                       |                       |              |
| 5. Supplies                          |                       |                       |                       |                       |                       |              |
| 6. Contractual                       |                       |                       |                       |                       |                       |              |
| 7. Construction                      |                       |                       |                       |                       |                       |              |
| 8. Other                             |                       |                       |                       |                       |                       |              |
| 9. Total Direct Costs<br>(lines 1-8) |                       |                       |                       |                       |                       |              |
| 10. Indirect Costs                   |                       |                       |                       |                       |                       |              |
| 11. Training Stipends                |                       |                       |                       |                       |                       |              |
| 12. Total Costs<br>(lines 9-11)      |                       |                       |                       |                       |                       |              |

|                                  |   |
|----------------------------------|---|
| Name of Institution/Organization | Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form. |
|----------------------------------|---|

**SECTION B - BUDGET SUMMARY  
NON-FEDERAL FUNDS**

| Budget Categories                    | Project Year 1<br>(a) | Project Year 2<br>(b) | Project Year 3<br>(c) | Project Year 4<br>(d) | Project Year 5<br>(e) | Total<br>(f) |
|--------------------------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|--------------|
| 1. Personnel                         |                       |                       |                       |                       |                       |              |
| 2. Fringe Benefits                   |                       |                       |                       |                       |                       |              |
| 3. Travel                            |                       |                       |                       |                       |                       |              |
| 4. Equipment                         |                       |                       |                       |                       |                       |              |
| 5. Supplies                          |                       |                       |                       |                       |                       |              |
| 6. Contractual                       |                       |                       |                       |                       |                       |              |
| 7. Construction                      |                       |                       |                       |                       |                       |              |
| 8. Other                             |                       |                       |                       |                       |                       |              |
| 9. Total Direct Costs<br>(lines 1-8) |                       |                       |                       |                       |                       |              |
| 10. Indirect Costs                   |                       |                       |                       |                       |                       |              |
| 11. Training Stipends                |                       |                       |                       |                       |                       |              |
| 12. Total Costs<br>(lines 9-11)      |                       |                       |                       |                       |                       |              |

**SECTION C - OTHER BUDGET INFORMATION** (see instructions)

Public reporting burden for this collection of information is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and the Office of Management and Budget, Paperwork Reduction Project 1875-0102, Washington DC 20503.

## INSTRUCTIONS FOR ED FORM 524

### General Instructions

This form is used to apply to individual U.S. Department of Education discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached.

### Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

### Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year for which matching funds or other contributions are provided, show the total

contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

### Section C - Other Budget Information Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, by project year, for each budget category listed in Sections A and B.
2. If applicable to this program, enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period. In addition, enter the estimated amount of the base to which the rate is applied, and the total indirect expense.
3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. Provide other explanations or comments you deem necessary

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## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

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**Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.**

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or Federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276a-7), the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), regarding labor standards for Federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

|   |       |                |
|---|-------|----------------|
| SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL | TITLE |                |
| APPLICANT ORGANIZATION                      |       | DATE SUBMITTED |

Standard Form 424B (Rev. 7-97) Back



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**CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER  
RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

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**1. LOBBYING**

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

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**2. DEBARMENT, SUSPENSION, AND OTHER  
RESPONSIBILITY MATTERS**

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

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**3. DRUG-FREE WORKPLACE  
(GRANTEES OTHER THAN INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

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Check ☐ if there are workplaces on file that are not identified here.

#### **DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

|   |                                       |
|---|---------------------------------------|
| NAME OF APPLICANT                                   | PR/AWARD NUMBER AND / OR PROJECT NAME |
| PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE |                                       |
| SIGNATURE   | DATE                                  |

ED 80-0013

12/98

**Certification Regarding Debarment, Suspension, Ineligibility and  
Voluntary Exclusion -- Lower Tier Covered Transactions**

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

**Instructions for Certification**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled A Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

**Certification**

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

|   |                                     |
|---|-------------------------------------|
| NAME OF APPLICANT                                   | PR/AWARD NUMBER AND/OR PROJECT NAME |
| PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE |                                     |
| SIGNATURE   | DATE                                |

ED 80-0014, 9/90 (Replaces GCS-009 (REV.12/88), which is obsolete)

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**Disclosure of Lobbying Activities**

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure)

|   |  |  |
|---|--|--|
| <b>1. Type of Federal Action:</b><br>_____ a. contract<br>_____ b. grant<br>_____ c. cooperative agreement<br>_____ d. loan<br>_____ e. loan guarantee<br>_____ f. loan insurance   | <b>2. Status of Federal Action:</b><br>_____ a. bid/offer/application<br>_____ b. initial award<br>_____ c. post-award                             | <b>3. Report Type:</b><br>_____ a. initial filing<br>_____ b. material change<br><br><b>For material change only:</b><br>Year _____ quarter _____<br>Date of last report _____ |
| <b>1. Name and Address of Reporting Entity:</b><br>_____ Prime      _____ Subawardee<br>Tier _____, if Known:<br><br><br><b>Congressional District, if known:</b>   | <b>2. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b><br><br><br><br><br><b>Congressional District, if known:</b> |  |
| <b>6. Federal Department/Agency:</b>  | <b>7. Federal Program Name/Description:</b><br><br><br>CFDA Number, if applicable: _____   |  |
| <b>8. Federal Action Number, if known:</b>  | <b>9. Award Amount, if known:</b> _____ :<br><br>\$  |  |
| <b>10. a. Name and Address of Lobbying Registrant</b><br><i>(if individual, last name, first name, MI):</i>   | <b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a) (last name, first name, MI):</i>                        |  |
| <b>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b> | <b>Signature:</b> _____<br><br><b>Print Name:</b> _____<br><br><b>Title:</b> _____<br><br><b>Telephone No.:</b> _____ <b>Date:</b> _____           |  |
| <b>Federal Use Only</b>   | <b>Authorized for Local Reproduction</b><br><b>Standard Form - LLL (Rev. 7-97)</b>   |  |

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## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least

one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 2050

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# **GUIDANCE ON SECTION 427 OF THE GENERAL EDUCATION PROVISION ACT**

## **Notice To All Applicants**

The purpose of this enclosure is to inform you about a provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Pub. L. 103-382).

### ***To whom does this provision apply?***

Section 427 of GEPA affects applicants for new grant awards under this program. All applicants for new awards must include information in their applications to address this provision in order to receive funding under this program.

### ***What does this provision require?***

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in its Federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

### ***What are examples of how an applicant might satisfy the requirement of this provision?***

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in Braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

**Estimated Burden Statement for GEPA Requirements**

The time required to complete this information collection is estimated to vary from 1 to 3 hours per response, with an average of 1.5 hours, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection.

If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:  
U.S. Department of Education, Washington, DC 20202-4651.

OMB Control No. 1890-007 (Exp. 9/30/04)

# **SECTION D**

## **TRANSMITTAL INSTRUCTIONS AND CHECKLIST**

## APPLICATION TRANSMITTAL INSTRUCTIONS

In order to apply for a grant and be considered for funding, you must meet the following deadline requirements:

### Applications Sent By Mail:

You must mail the original and two copies of the application on or before the deadline. To help expedite our review of your application, we would appreciate you voluntarily including one additional copy of your application.

**U.S. Department of Education  
Application Control Center  
Attention: CFDA# 84.363A  
Washington, DC 20202-4725**

You must show one of the following as proof of mailing:

- (1) A legibly dated U.S. Postal Service Postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the U.S. Secretary of Education.

If you mail an application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Services.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

**Special Note:** Due to recent disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (e.g., a commercial carrier such as Federal Express or United Parcel Service; U.S. Postal Service Express Mail; or a courier service) to transmit your application for this competition to the Department. If you use an alternative delivery method, please obtain the appropriate proof of mailing under "Applications Sent by Mail," or follow the instructions for "Applications Delivered by Hand."

### **Applications Delivered by Hand**

To help expedite our review of your application, we would appreciate you voluntarily including one additional copy of your application.

**U.S. Department of Education  
Application Control Center  
Attention: CFDA# 84.363A  
7<sup>th</sup> and D Streets, SW  
ROB-3, Room 3671  
Washington, DC 20202-4725**

The Application Control Center will accept deliveries daily between 8:00 a.m. and 4:30 p.m.(EST), except Saturdays, Sundays, and Federal holidays. The Center accepts application deliveries through the D Street entrance only. A person delivering an application must show identification to enter the building.

## APPLICATION CHECKLIST

Does your application include each of the following?

- ☐ Cover page (SF 424)
- ☐ Table of Contents
- ☐ Proof of Eligibility
- ☐ Letter of Support if applicant is not a high-need LEA(s)
- ☐ Project Abstract
- ☐ Program Narrative, including responses to the selection criteria and competitive preference
- ☐ Budget Form (ED) Form 524 and Budget Narrative
- ☐ Assurances and Certifications
  - ☐ Assurances—Non-Construction Programs
  - ☐ Certifications Regarding Lobbying; Debarment; Suspension, and Other Responsibility Matters; Drug-Free Workplace Requirements
  - ☐ Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion- Lower Tier Covered Transactions
  - ☐ Disclosure of Lobbying Activity
- ☐ Response to Section 427 of GEPA Guidance

Did You -

- ☐ Provide one (1) original plus three (3) copies of the application (for a total of **4** copies)?
- ☐ Include all required forms with original signatures and dates?
- ☐ Submit a copy of the application to the State Single Point of Contact (if applicable)?
- ☐ Include **"Attention: CFDA 84.363A"** on the cover and envelope containing your application package?

- [ ] Adhere to the page limit described on pages B-3 through B-4?
- [ ] Consecutively number all pages in your application package?

# **SECTION E**

## **ESTIMATED PUBLIC REPORTING BURDEN**



## ESTIMATED PUBLIC REPORTING BURDEN

### Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0009. The time required to complete this information collection is estimated to average 25 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** School Improvement Programs, U.S. Department of Education, 400 Maryland Avenue, S.W., Room 3C124, Washington D.C. 20202.

# **SECTION F**

## **OTHER IMPORTANT INFORMATION AND NOTICES**

## **The Government Performance Results Act (GPRA)**

The Government Performance Results Act of 1993 (GPRA) is a straightforward statute that requires all Federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of Federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

As required by GPRA, the Department of Education has prepared a strategic plan for 2002-2007. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

**GOAL 1:** Create a culture of achievement.

**GOAL 2:** Improve student achievement.

**GOAL 3:** Develop Safe Schools and Strong Character.

**Goal 4:** Transform Education into an Evidence-Based Field.

**Goal 5:** Enhance the quality and access to Postsecondary and Adult Education.

**Goal 6:** Establish Management Excellence

The Secretary may choose to develop performance indicators for the School Leadership Program in accordance with the Government Performance and Results Act (GPRA). If indicators are developed, grantees will be asked to provide information that relates to participant outcomes and project management.

## Intergovernmental Review of Federal Programs

This appendix applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen Federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A listing containing the Single Point of Contact for each State is included in this appendix.

In States that have not established a process or chosen a program for review, State, area-wide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, area-wide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372-CFDA# 84.363A, U.S. Department of Education, Room 7W100, 400 Maryland Avenue, SW., Washington, DC 20202

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS.

## STATE SINGLE POINTS OF CONTACT (SPOCs)

Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen Federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is a copy of the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided from the official version of this document from the OMB web page at the following address: <http://www.whitehouse.gov/omb/grants/spoc.html>

This publication by the U.S. Department of Education (ED or the Department) is an unofficial version of the State Single Point of Contact (SPOC) List published by the Office of Management and Budget (OMB). The Department has made every effort to ensure the accuracy of the information contained in this unofficial version. However, the only official version of the State Single Point of Contact (SPOC) List is posted on the Grants Management section of the OMB web site listed above.

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| <p><b><u>ARKANSAS</u></b><br/> Tracy L. Copeland<br/> Manager, State Clearinghouse<br/> Office of Intergovernmental Services<br/> Department of Finance and Administration<br/> 1515 W. 7th St., Room 412<br/> Little Rock, Arkansas 72203<br/> Telephone: (501) 682-1074<br/> Fax: (501) 682-5206<br/> tlcopeland@dfa.state.ar.us</p> | <p><b><u>CALIFORNIA</u></b><br/> Grants Coordination<br/> State Clearinghouse<br/> Office of Planning and Research<br/> P.O. Box 3044, Room 222<br/> Sacramento, California 95812-3044<br/> Telephone: (916) 445-0613<br/> Fax: (916) 323-3018<br/> state.clearinghouse@opr.ca.gov</p>   |
| <p><b><u>DELAWARE</u></b><br/> Charles H. Hopkins<br/> Executive Department<br/> Office of the Budget<br/> 540 S. Dupont Highway, 3rd Floor<br/> Dover, Delaware 19901<br/> Telephone: (302) 739-3323<br/> Fax: (302) 739-5661<br/> chopkins@state.de.us</p>   | <p><b><u>DISTRICT OF COLUMBIA</u></b><br/> Luisa Montero-Diaz<br/> Office of Partnerships and Grants Development<br/> Executive Office of the Mayor<br/> District of Columbia Government<br/> 441 4th Street, NW, Suite 530 South<br/> Washington, DC 20001<br/> Telephone: (202) 727-8900<br/> Fax: (202) 727-1652<br/> opgd.eom@dc.gov</p> |
| <p><b><u>FLORIDA</u></b><br/> Jasmin Raffington<br/> Florida State Clearinghouse<br/> Department of Community Affairs<br/> 2555 Shumard Oak Blvd.<br/> Tallahassee, Florida 32399-2100<br/> Telephone: (850) 922-5438<br/> Fax: (850) 414-0479<br/> clearinghouse@dca.state.fl.us</p>  | <p><b><u>GEORGIA</u></b><br/> Georgia State Clearinghouse<br/> 270 Washington Street, SW<br/> Atlanta, Georgia 30334<br/> Telephone: (404) 656-3855<br/> Fax: (404) 656-7901<br/> gach@mail.opb.state.ga.us</p>  |

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| <u><b>ILLINOIS</b></u><br>Virginia Bova<br>Department of Commerce<br>and Community Affairs<br>James R. Thompson Center<br>100 West Randolph, Suite 3-400<br>Chicago, Illinois 60601<br>Telephone: (312) 814-6028<br>Fax (312) 814-8485<br>vbova@commerce.state.il.us             | <b>IOWA</b><br>Steven R. McCann<br>Division of Community and Rural<br>Development<br>Iowa Department of Economic Development<br>200 East Grand Avenue<br>Des Moines, Iowa 50309<br>Telephone: (515) 242-4719<br>Fax: (515) 242-4809<br>steve.mccann@ided.state.ia.us                                 |
| <b>KENTUCKY</b><br>Ron Cook<br>Department for Local Government<br>1024 Capital Center Drive, Suite 340<br>Frankfort, Kentucky 40601<br>Telephone: (502) 573-2382<br>Fax: (502) 573-2512<br>ron.cook@mail.state.ky.us   | <b>MAINE</b><br>Joyce Benson<br>State Planning Office<br>184 State Street<br>38 State House Station<br>Augusta, Maine 04333<br>Telephone: (207) 287-3261<br>(207) 287-1461 (direct)<br>Fax: (207) 287-6489<br>joyce.benson@state.me.us   |
| <u><b>MARYLAND</b></u><br>Linda Janey<br>Manager, Clearinghouse<br>and Plan Review Unit<br>Maryland Office of Planning<br>301 West Preston Street - Room 1104<br>Baltimore, Maryland 21201-2305<br>Telephone: (410) 767-4490<br>Fax: (410) 767-4480<br>linda@mail.op.state.md.us | <b>MICHIGAN</b><br>Richard Pfaff<br>Southeast Michigan Council of Governments<br>535 Griswold, Suite 300<br>Detroit, Michigan 48226<br>Telephone: (313) 961-4266<br>Fax: (313) 961-4869<br>pfaff@semcog.org  |
| <b>MISSISSIPPI</b><br>Cathy Mallette<br>Clearinghouse Officer<br>Department of Finance and<br>Administration<br>1301 Woolfolk Building, Suite E<br>501 North West Street<br>Jackson, Mississippi 39201<br>Telephone: (601) 359-6762<br>Fax: (601) 359-6758                       | <u><b>MISSOURI</b></u><br>Angela Boessen<br>Federal Assistance Clearinghouse<br>Office of Administration<br>P.O. Box 809<br>Truman Building, Room 840<br>Jefferson City, Missouri 65102<br>Telephone: (573) 751-4834<br>Fax: (573) 522-4395<br>igr@mail.oa.state.mo.us                               |
| <u><b>NEVADA</b></u><br>Heather Elliott<br>Department of Administration<br>State Clearinghouse<br>209 E. Musser Street, Room 200<br>Carson City, Nevada 89701<br>Telephone: (775) 684-0209<br>Fax: (775) 684-0260<br>helliott@govmail.state.nv.us                                | <u><b>NEW HAMPSHIRE</b></u><br>Jeffrey H. Taylor<br>Director<br>New Hampshire Office of State Planning<br>Attn: Intergovernmental Review Process<br>Mike Blake<br>2-1/2 Beacon Street<br>Concord, New Hampshire 03301<br>Telephone: (603) 271-2155<br>Fax: (603) 271-1728<br>jtaylor@osp.state.nh.us |

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| <p><b><u>NEW MEXICO</u></b><br/> Ken Hughes<br/> Local Government Division<br/> Room 201 Bataan Memorial Building<br/> Santa Fe, New Mexico 87503<br/> Telephone: (505) 827-4370<br/> Fax: (505) 827-4948<br/> khughes@dfa.state.nm.us</p>   | <p><b><u>NORTH CAROLINA</u></b><br/> Jeanette Furney<br/> Department of Administration<br/> 1302 Mail Service Center<br/> Raleigh, North Carolina 27699-1302<br/> Telephone: (919) 807-2323<br/> Fax: (919) 733-9571<br/> jeanette.furney@ncmail.net</p>   |
| <p><b><u>NORTH DAKOTA</u></b><br/> Jim Boyd<br/> Division of Community Services<br/> 600 East Boulevard Ave, Dept 105<br/> Bismarck, North Dakota 58505-0170<br/> Telephone: (701) 328-2094<br/> Fax: (701) 328-2308<br/> jboyd@state.nd.us</p>  | <p><b><u>RHODE ISLAND</u></b><br/> Kevin Nelson<br/> Department of Administration<br/> Statewide Planning Program<br/> One Capitol Hill<br/> Providence, Rhode Island 02908-5870<br/> Telephone: (401) 222-2093<br/> Fax: (401) 222-2083<br/> knelson@doa.state.ri.us</p>  |
| <p><b><u>SOUTH CAROLINA</u></b><br/> Omeagia Burgess<br/> Budget and Control Board<br/> Office of State Budget<br/> 1122 Ladies Street, 12th Floor<br/> Columbia, South Carolina 29201<br/> Telephone: (803) 734-0494<br/> Fax: (803) 734-0645<br/> aburgess@budget.state.sc.us</p>  | <p><b><u>TEXAS</u></b><br/> Denise S. Francis<br/> Director, State Grants Team<br/> Governor's Office of Budget and Planning<br/> P.O. Box 12428<br/> Austin, Texas 78711<br/> Telephone: (512) 305-9415<br/> Fax: (512) 936-2681<br/> dfrancis@governor.state.tx.us</p>   |
| <p><b><u>UTAH</u></b><br/> Carolyn Wright<br/> Utah State Clearinghouse<br/> Governor's Office of Planning and Budget<br/> State Capitol, Room 114<br/> Salt Lake City, Utah 84114<br/> Telephone: (801) 538-1535<br/> Fax: (801) 538-1547<br/> cwright@gov.state.ut.us</p>  | <p><b><u>WEST VIRGINIA</u></b><br/> Fred Cutlip, Director<br/> Community Development Division<br/> West Virginia Development Office<br/> Building #6, Room 553<br/> Charleston, West Virginia 25305<br/> Telephone: (304) 558-4010<br/> Fax: (304) 558-3248<br/> fcutlip@wvdo.org</p>  |
| <p><b><u>WISCONSIN</u></b><br/> Jeff Smith<br/> Section Chief, Federal/State Relations<br/> Wisconsin Department of Administration<br/> 101 East Wilson Street - 6th Floor<br/> P.O. Box 7868<br/> Madison, Wisconsin 53707<br/> Telephone: (608) 266-0267<br/> Fax: (608) 267-6931<br/> jeffrey.smith@doa.state.wi.us</p> | <p><b><u>AMERICAN SAMOA</u></b><br/> Pat M. Galea'i<br/> Federal Grants/Programs Coordinator<br/> Office of Federal Programs<br/> Office of the Governor/Department of Commerce<br/> American Samoa Government<br/> Pago Pago, American Samoa 96799<br/> Telephone: (684) 633-5155<br/> Fax: (684) 633-4195<br/> pmgaleai@samoatelco.com</p> |
| <p><b><u>GUAM</u></b><br/> Director<br/> Bureau of Budget and Management Research<br/> Office of the Governor<br/> P.O. Box 2950<br/> Agana, Guam 96910<br/> Telephone: 011-671-472-2285<br/> Fax: 011-472-2825<br/> jer@ns.gov.gu</p>   | <p><b><u>PUERTO RICO</u></b><br/> Jose Caballero / Mayra Silva<br/> Puerto Rico Planning Board<br/> Federal Proposals Review Office<br/> Minillas Government Center<br/> P.O. Box 41119<br/> San Juan, Puerto Rico 00940-1119<br/> Telephone: (787) 723-6190<br/> Fax: (787) 722-6783</p>  |



**NORTH MARIANA ISLANDS**

Ms. Jacoba T. Seman  
Federal Programs Coordinator  
Office of Management and Budget  
Office of the Governor  
Saipan, MP 96950  
Telephone: (670) 664-2289  
Fax: (670) 664-2272  
omb.jseman@saipan.com

**VIRGIN ISLANDS**

Ira Mills  
Director, Office of Management and Budget  
#41 Norre Gade Emancipation Garden  
Station, Second Floor  
Saint Thomas, Virgin Islands 00802  
Telephone: (340) 774-0750  
Fax: (340) 776-0069  
lrmills@usvi.org

**IMPORTANT NOTICE TO PROSPECTIVE PARTICIPANTS  
IN U.S. DEPARTMENT OF EDUCATION  
GRANT AND CONTRACT PROGRAMS**

**GRANTS**

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds. Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste. For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that:

**Failure to meet a deadline will mean that an applicant will be rejected without any consideration.**

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. Six-month or one-year subscriptions to the daily, official Federal Register may be ordered from the U. S. Government Printing Office at the following url: <http://bookstore.gpo.gov/regulatory/fed-reg.html>. The Federal Register Complete Service is also available in microfiche on the same web page. In addition, the Federal Register is available on-line for free on Government Printing Office (GPO) Access: <http://www.access.gpo.gov/nara>. Depository Library location and Federal Register services: <http://www.nara.gov/fedreg>.

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register. No ED employee is authorized to extend any deadline published in the Federal Register. Questions regarding submission of applications may be addressed to:

U.S. Department of Education  
Application Control Center  
Washington, D.C. 20202-4725

**CONTRACTS**

Competitive procurement actions undertaken by the ED are governed by the Federal Acquisition Regulations and implementing Department of Education Acquisition Regulations.

Generally, prospective competitive procurement actions are synopsisized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP). All of ED's RFP's are now available on-line for downloading at the following url: <http://www.ed.gov/offices/ocfo/contracts/currfrp.html>.

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracts Specialist identified on the face page of the RFP. Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal, which is non-responsive to the RFP. Six-month or one-year subscriptions to the CBD may be ordered from the U.S. Government Printing Office at the following url: <http://bookstore.gpo.gov/regulatory/cbd.html>. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1. The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents  
U.S. Government Printing Office  
Washington, D.C. 20402-9371

In addition, the Commerce Business Daily is available on-line for free at the following url: <http://cbdnet.access.gpo.gov/>. The Federal Acquisition Regulations are available on-line at the following url: <http://www.arnet.gov/far/>.

## **GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT**

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If you send your application by mail or if you or your courier deliver it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgement to you. If you fail to receive the notification of application receipt within fifteen (15) days from the closing date call:

**U.S. Department of Education  
Application Control Center  
(202) 708-9493**

If your application is late, we will notify you that we will not consider the application.

## **GRANT AND CONTRACT FUNDING INFORMATION**

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The Department of Education provides information about grant and contract opportunities electronically in several ways:

The Department's Internet Home Page -- <http://ww.ed.gov>

The Office of the Chief Financial Officer Home Page -- <http://ocfo.ed.gov/>